

IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Fabio Casati et al.

Confirmation No.:

Application No.:

Examiner:

Filing Date: Jan. 25, 2002

Group Art Unit:

Title: EXCEPTION ANALYSIS, PREDICTION, AND PREVENTION METHOD AND SYSTEM

COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97(b), or  
(Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97(c) together with either a:  
☐ Statement under 37 CFR 1.97(e), or  
☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97 (d) together with a:  
☐ Statement under 37 CFR 1.97(e), and  
☐ a petition under 37 CFR 1.97(d)(2), and  
☐ a \$180.00 petition fee set forth in 37 CFR 1.17(p).  
(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

Please charge to Deposit Account **08-2025** the sum of \$0.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account **08-2025** pursuant to 37 CFR 1.25.

☒ Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Citation together with copies, of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

☐ A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individuals(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

"Express Mail" label no. EV074663713US

Date of Deposit Jan. 25, 2002

I hereby certify that this is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Commissioner for Patents, Washington, D.C. 20231.

By

Typed Name: Eric Ho

Respectfully submitted,

Fabi Casati et al.

By

Eric Ho

Attorney/Agent for Applicant(s)

Reg. No. 39,711

Date: Jan. 25, 2002



3/24/03  
#1/2

FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

10008149-1

APPLICATION NO.

CONFIRMATION NO.

APPLICANT

Fabio Casati et al.

FILING DATE

Jan. 25, 2002

GROUP

U.S. PAT. & TM. OFF.  
10/05/02

01/25/02

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS
	1A					
	1B					
	1C					
	1D					
	1E					
	1F					
	1G					
	1H					
	1I					
	1J					
	1K					

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	TRANSLATION	
							YES	NO
	1L							
	1M							
	1N							
	1O							
	1P							

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

1Q	by J. Eder, E. Panagos, H. Pozewaunig & M. Rabinovich, "Time Management in Workflow Systems," Procs. of BIS'99, Poznan, Poland, 1999.
1R	E. Panagos & M. Rabinovich, "Escalations in Workflow Management Systems," Procs. of DART'97, Rockville Maryland, Nov. 1997.
1S	A. Bonifati, F. Casati, U. Dayal, and M.C. Shan, "Warehousing Workflow Data: Challenges and Opportunities," Procs. of VLDB'01, Rome, Italy. Sept. 2001.

EXAMINER

DATE CONSIDERED